



OFFICE OF THE INSPECTOR GENERAL

STRATEGIC PLAN

2008–2012

MATTHEW L. CATE
INSPECTOR GENERAL

STATE OF CALIFORNIA

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Strategic Plan


EXCELLENCE IN CORRECTIONS THROUGH MODEL OVERSIGHT

A MESSAGE FROM THE INSPECTOR GENERAL

As California's prison watchdog, the Office of the Inspector General has worked hard to earn a reputation for integrity and professionalism while bringing transparency and accountability to the state's correctional system. Over the last three years, those efforts took place in an atmosphere of constant change. California's inmate population reached crisis levels, the federal court appointed a receiver to manage the medical system, and the legislature passed sweeping reforms designed to reduce recidivism. During those same three years, the California Department of Corrections and Rehabilitation reinvented its organizational structure and changed leaders three times.

To succeed in this challenging environment, the OIG must have a dynamic strategic plan that not only sets our direction but also allows us to adjust our course when necessary to meet our goals. I believe this strategic plan, developed by our staff and presented now to the public, will do exactly that.

While our strategic plan's vision, mission, values, and goals are a vital launching point, our commitment to manage and work by those ideals determines our ultimate success. If this strategic plan sits on a shelf and we continue to work according to the status quo, we will find ourselves unable to adapt, and we will quickly become ineffective. Moreover, we must create a team culture in which staff members use this document as a blueprint for change—a plan for reaching our shared goals. Only in this way will we see our vision, *"Excellence in Corrections through Model Oversight,"* become a reality. In partnership with my OIG colleagues, I am inspired to undertake this challenge.



Matthew L. Cate
Inspector General

ABOUT THE OFFICE OF THE INSPECTOR GENERAL

The Inspector General's specific responsibilities consist of the following:

- Conduct investigations, audits, and special reviews at the request of the Governor, members of the Legislature, the Secretary of the California Department of Corrections and Rehabilitation (CDCR), and on the Inspector General's own initiative.
- Perform real-time oversight of internal affairs investigations into alleged misconduct by CDCR employees.
- Conduct audits of each correctional institution at least once every four years and a baseline audit of each warden or superintendent of an institution one year after appointment.
- Review CDCR policies and procedures for conducting internal investigations and audits.
- Establish and maintain a toll-free public telephone number to allow reporting of administrative wrongdoing, poor management practices, criminal conduct, fraud, or other abuses in the CDCR.
- Investigate complaints of retaliation against those who report misconduct on the part of the CDCR and its employees.
- Evaluate and report on the qualifications of the Governor's candidates for warden or superintendent with regard to each candidate's ability to discharge the duties of the office for the state's adult and juvenile correctional institutions.
- Refer matters involving criminal conduct to law enforcement authorities in the appropriate jurisdiction or to the Attorney General.
- Through the Office of the Sexual Abuse in Detention Elimination Ombudsperson, investigate reports of the mishandling of incidents of sexual abuse within correctional facilities, maintain the confidentiality of victims of sexual abuse if requested, and ensure the impartial resolution of inmate and ward sexual abuse complaints.
- Regularly examine the various mental health, substance abuse, educational, and employment programs for inmates and parolees operated by the CDCR through the California Rehabilitation Oversight Board (C-ROB).
- Conduct semi-annual facility inspections of adult and juvenile institutions to examine systemic issues and significant complaints, identify problem areas that may lead to investigations or audits, and follow up on prior complaints.

- Audit the California Prison Health Care Receivership Corporation's budget to ensure transparency and accountability.
- Respond to critical incidents at adult and juvenile correctional institutions, including officer-involved shootings, riots, escapes that pose a threat to public safety, and correctional staff member deaths caused by inmates.
- Inspect medical care operations at adult correctional institutions.
- Monitor use-of-force committee meetings conducted monthly at each adult and juvenile correctional institution.

OUR CORE VALUES AND MISSION

OIG FIRST

- **Fairness:** The OIG is objective, balanced, and unbiased.
- **Integrity:** The OIG is honest, ethical, and principled.
- **Respect:** The OIG honors the rule of law and values people and their ideas.
- **Service:** The OIG is devoted to duty and committed to the public good.
- **Transparency:** The OIG operates with openness and provides thorough and accurate reporting.

The Office of the Inspector General's mission is to provide oversight and public accountability of the correctional system through independent monitoring, audits, and investigations.

OUR STRATEGIC PLANNING PROCESS

The Office of the Inspector General (OIG) started its strategic planning effort in December 2006. To obtain information about the OIG's organizational effectiveness and accomplishments and its strengths, weaknesses, opportunities, and challenges, executive management hired a consultant to survey OIG staff members and external stakeholders. The consultant grouped the survey responses into common themes and provided the results to OIG management and eventually to all staff.

In March 2007, OIG staff members developed organizational vision, mission, and goal statements aligned with the key survey themes. After the OIG management team refined the strategic goals, individual managers met with their assigned staff teams to identify themes, or topics, for developing objectives under each goal. Finally, the management team used those topics to develop specific objectives for each strategic goal. Strategic objectives define statements of intent that specify a measurable, time-based target to accomplish.

To move the strategic planning process forward, the Inspector General formed a ten-member Strategic Planning Council (SPC). SPC members

include the OIG's executive management team and other staff members from the Bureau of Independent Review and the Bureau of Audits and Investigations. The SPC functions as an internal board of directors that oversees and shepherds the strategic planning process. Initially, the SPC refined the goals and identified each goal's expected outcome; the SPC then refined the objectives and drafted specific performance measures for the OIG to accomplish with each objective. Measures describe the intended level of input, output, outcome, efficiency, or quality that results from a specific objective.

To implement the OIG's strategic plan, the SPC assigned staff members to work in teams and develop work action plans for each objective. These detailed work plans identify tasks that formulate the OIG's strategies for carrying out its



Inspector General Matthew Cate (left) with Gov. Schwarzenegger at Mule Creek State Prison

objectives. In October 2007, the teams finalized their work action plans, and executive management approved the work plans for implementation. Over the next five years, the OIG intends to perform the following steps to implement its strategic plan:

- Staff members will implement the specific work plans for each objective.
- Team leaders for each work plan will track the plan's performance measures and regularly report to the SPC on their team's progress in completing tasks and implementing planned strategies.
- The SPC will monitor the strategic planning process; assess the ongoing relevance of objectives, measures, and work plans and revise them as needed; and report to staff on the OIG's progress in achieving its strategic goals and objectives.

GOAL 1

ASSIST CDCR IN BECOMING A MODEL CORRECTIONAL AGENCY

1. By July 2009, end the *Madrid* lawsuit and ensure the post-*Madrid* vitality and integrity of CDCR's employee discipline process through necessary safeguards.

Measure: *Date of completion of Madrid lawsuit and percentage of identified safeguards developed and put in place.*

2. By December 2010, ensure that 90 percent of all monitored discipline cases receive a satisfactory disposition and comply with CDCR's *Department Operations Manual* in each category.

Measure: *Percentage of monitored discipline cases receiving satisfactory disposition and full compliance.*

3. By December 2012, identify and recommend efficiencies that will reduce CDCR's wasteful or ineffective spending by \$2 billion.

Measure: *Wasteful or ineffective spending identified and savings realized.*

4. By December 2012, ensure that 100 percent of institutions are providing health care that meets constitutional standards.

Measure: *Percentage of institutions providing health care meeting constitutional standards.*

5. By December 2012, assist CDCR in reducing recidivism by 10 percent.

Measure: *Percentage of reduced recidivism.*

6. By December 2012, assist CDCR in providing rehabilitative programming opportunities for 100 percent of eligible inmates, wards, and parolees.

Measure: *Percentage of inmates, wards, and parolees provided rehabilitative programming opportunities.*

7. By December 2012, assist CDCR in eliminating the use of temporary beds in institutions.

Measure: *Number and percentage of temporary beds in use.*

8. By December 2012, assist CDCR in decreasing violent incidents per capita in each institution by 10 percent.

Measure: *Percentage of reduction of violent incidents.*

Outcome:

CDCR will become a model correctional agency.

GOAL 2

ACHIEVE EXCELLENCE IN COMMUNICATION

1. By December 2008, have an intranet portal for staff access to key OIG resources.

Measure: Intranet portal established.

2. By December 2007, accomplish annual Bureau of Audits and Investigations (BAI) in-person contacts with 100 percent of CDCR correctional facilities.

Measure: Percentage of correctional facilities contacted (facilities in California).

3. By July 2009, ensure that 100 percent of OIG annual, semi-annual, and quarterly reports are published within 90 days of the conclusion of the reporting period.

Measure: Percentage of public reports published within 90 days.

4. By July 2009, ensure that 75 percent or more of employees rate the OIG as excellent on an internal employee communication survey.

Measure: Percentage of employees rating OIG internal communication as excellent.

5. By July 2009, ensure that 100 percent of the OIG's public reports and press releases meet the OIG readability standard before they are published.

Measure: Percentage of public reports that meet the OIG readability standard as measured by the OIG readability evaluation tool.

6. By July 2010, ensure that 70 percent of external stakeholders rate the OIG on average as very good or excellent on an external stakeholder's survey.

Measure: Percentage of external stakeholders rating the OIG as very good or excellent.

Outcome:

The public will receive accurate and timely information regarding key aspects of the correctional system.

GOAL 3

IMPLEMENT EFFECTIVE AND EFFICIENT WORK PROCESSES

1. By January 2009, consistently process 100 percent of travel and expense claims within ten days of submission of complete travel information.

Measure: Percentage of travel claims processed within ten days.

2. By July 2008, meet 100 percent of the state administrative reporting requirements.

Measure: Percentage of requirements met.

3. By July 2008, update, publish, and distribute 100 percent of OIG policies and procedures to all staff members.

Measure: Percentage of OIG policies published and distributed.

4. By January 2009, train 100 percent of staff members on applicable work processes, including the Case Management System (CMS), within six months of employment.

Measure: Percentage of staff members trained.

5. By January 2009, meet all legally mandated audit, vetting, retaliation, and monitoring requirements.

Measure: Percentage of requirements met.

6. By July 2009, establish real time read-only access with 100 percent of the pertinent CDCR information systems databases.

Measure: Percentage of completion for real time read-only access.

7. By July 2009, fully comply with Generally Accepted Government Auditing Standards (GAGAS) and Association of Inspectors General (AIG) standards.

Measure: Full compliance statement from internal and external reviews.

Outcome:

The OIG will produce policy-shaping reports at a faster pace.

GOAL 4

MAXIMIZE USE OF THE OIG'S RESOURCES TO MEET ORGANIZATIONAL GOALS

1. By July 2008, ensure that 100 percent of Administration and IT desks have a designated back-up.

Measure: Percentage of Administration and IT desks with a designated back-up.

2. By January 2010, verify that 75 percent of Bureau of Audits and Investigations (BAI) staff members gain experience in at least three of the following areas: intake, warden vetting, investigations, audits, and Bureau of Independent Review (BIR) monitoring.

Measure: Percentage of BAI staff members gaining experience.

3. Each fiscal year, make certain that the OIG develops and meets its annual work plan.

Measure: By July 2009, the OIG work plan is established; percentage of the work plan met.

4. By July 2010, ensure that 100 percent of OIG staff members participate in the Human Resources Development Plan.

Measure: Percentage of OIG staff members participating.

5. By July 2010, verify that the OIG has 100 percent of necessary skill sets.

Measure: Percentage of necessary skill sets.

6. By July 2009, ensure that 100 percent of OIG supervisors and managers obtain a better than satisfactory rating on their 360 performance reviews.

Measure: Percentage of supervisors and managers obtaining better than satisfactory ratings.

Outcome:

The OIG will meet all of its commitments with available resources.



OFFICE OF THE INSPECTOR GENERAL

**P.O. BOX 348780
SACRAMENTO, CA 95834-8780**

(916) 830-3600

WWW.OIG.CA.GOV